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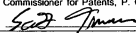
## CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail, with sufficient postage, in an envelope addressed to: Mail Stop Amendment, Commissioner for Patents, P. O. Box 1450, Alexandria, VA 22313-1450, on the below date:

Date: July 21, 2006

Name: Scott A. Timmerman

Signature:



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& LIONE



## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Re: Appln of: Neal Brady et al.

U.S. Patent Application Serial  
No.: 10/726,851

U.S. Filing  
Date: December 2, 2003

For: METHOD AND SYSTEM FOR PROVIDING  
OPTION SPREAD INDICATIVE QUOTES

Attorney Docket No: 4672/369

Examiner: Hamilton, L.

Group Art Unit: 3624

Mail Stop Amendment  
Commissioner for Patents  
P. O. Box 1450  
Alexandria, VA 22313-1450

## TRANSMITTAL

Sir:

## Attached is/are:

- ☒ Fourth Supplemental Information Disclosure Statement and Form 1449  
☒ Return Receipt Postcard

## Fee calculation:

- ☐ No additional fee is required.  
☐ Small Entity.  
☐ An extension fee in an amount of \$\_\_\_\_\_ for a \_\_\_\_\_( )-month extension of time under 37 C.F.R. § 1.136(a).  
☐ A petition or processing fee in an amount of \$\_\_\_\_\_ under 37 C.F.R. § 1.17(\_\_\_\_).  
☐ An additional filing fee has been calculated as shown below:

|   |                                     |       |                                    |                  | Small Entity |           |    | Not a Small Entity |           |
|---|-------------------------------------|-------|------------------------------------|------------------|--------------|-----------|----|--------------------|-----------|
|   | Claims Remaining<br>After Amendment |       | Highest No.<br>Previously Paid For | Present<br>Extra | Rate         | Add'l Fee | or | Rate               | Add'l Fee |
| Total                                     |                                     | Minus |                                    |                  | x \$25=      |           |    | x \$50=            |           |
| Indep.                                    |                                     | Minus |                                    |                  | x \$100=     |           |    | x \$200=           |           |
| First Presentation of Multiple Dep. Claim |                                     |       |                                    |                  | + \$180=     |           |    | + \$360=           |           |
|   |                                     |       |                                    |                  | Total        | \$        |    | Total              | \$        |

## Fee payment:

- ☐ A check in the amount of \$\_\_\_\_\_ to cover the above-identified fee(s) is enclosed.  
☐ Please charge Deposit Account No. 23-1925 in the amount of \$\_\_\_\_\_. A copy of this Transmittal is enclosed for this purpose.  
☐ Payment by credit card in the amount of \$\_\_\_\_\_ (Form PTO-2038 is attached).  
☒ The Director is hereby authorized to charge payment of any additional filing fees required under 37 CFR § 1.16 and any patent application processing fees under 37 CFR § 1.17 associated with this paper (including any extension fee required to ensure that this paper is timely filed), or to credit any overpayment, to Deposit Account No. 23-1925.

Respectfully submitted,



July 21, 2006

Scott A. Timmerman (Reg. No. 55,678)

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /L.H./

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 Date: July 21, 2006 Name: Scott A. Timmerman Signature: Scott Timmerman



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For: METHOD AND SYSTEM FOR  
 PROVIDING OPTION SPREAD  
 INDICATIVE QUOTES

Attorney Docket No: 4672/369

Examiner: Hamilton, L.

Art Unit: 3624

**FOURTH SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**

In accordance with the duty of disclosure under 37 C.F.R. §1.56 and §§1.97-1.98, and more particularly in accordance with 37 C.F.R. §1.97(b), Applicants hereby cite the following reference(s):

| No.       | Date of Publication | Patentee/Applicant/Assignee |
|-----------|---------------------|-----------------------------|
| 6,272,474 | 02/27/01            | Martyn et al.               |
| 6,195,647 | 08/07/01            | Garcia                      |

Applicants are enclosing Form PTO-1449 (one sheet), along with a copy of each listed reference for which a copy is required under 37 C.F.R. §1.98(a)(2). As each of the listed references is in English, no further commentary is believed to be necessary, 37 C.F.R. §1.98(a)(3). Applicants respectfully request the Examiner's consideration of the above reference(s) and entry thereof into the record of this application.

By submitting this Statement, Applicants are attempting to fully comply with the duty of candor and good faith mandated by 37 C.F.R. §1.56. As such, this Statement is not intended to constitute an admission that any of the enclosed references, or other

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /L.H./

information referred to therein, constitutes "prior art" or is otherwise "material to patentability," as that phrase is defined in 37 C.F.R. §1.56(a).

Applicants have calculated no fee to be due in connection with the filing of this Statement. However, the Director is authorized to charge any fee deficiency associated with the filing of this Statement to a deposit account, as authorized in the Transmittal accompanying this Statement.

Respectfully submitted,

July 21, 2006

Date



\_\_\_\_\_  
Scott A. Timmerman  
Registration No. 55,678  
Attorney for Applicants



|   |                                 |                        |
|---|---------------------------------|------------------------|
| FORM PTO-1449   | SERIAL NO.<br>10/726,851        | CASE NO.<br>4672/369   |
| LIST OF PATENTS AND PUBLICATIONS FOR<br>APPLICANT'S INFORMATION DISCLOSURE<br>STATEMENT | FILING DATE<br>December 2, 2003 | GROUP ART UNIT<br>3624 |
| (use several sheets if necessary)   | APPLICANT(S): Neal Brady et al. |                        |

## REFERENCE DESIGNATION

## U.S. PATENT DOCUMENTS

| EXAMINER<br>INITIAL |    | DOCUMENT<br>NUMBER<br><small>Number-Kind Code (if known)</small> | DATE     | NAME          | CLASS/<br>SUBCLASS | FILING<br>DATE |
|---------------------|----|--|----------|---------------|--------------------|----------------|
|                     | D1 | 6,272,474  | 02/27/01 | Martyn et al. |                    |                |
|                     | D2 | 6,195,647  | 08/07/01 | Garcia        |                    |                |

|   |                 |
|---|-----------------|
| EXAMINER<br>Leta Hamilton/ (03/30/2008) | DATE CONSIDERED |
|---|-----------------|

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /L.H./